Graduate Research Supervision Procedure

Section 1 - Purpose

(1) This Procedure specifies the roles and responsibilities associated with the supervision of graduate research students.

(2) This Procedure should be read in conjunction with the Graduate Research Supervision Policy.

Background

(3) This Procedure covers the requirements for supervising graduate research students in the following degrees:

a. Master of Research;
b. Master of Public Health (Research);
c. Master of Philosophy;
d. Doctor of Philosophy;
e. Cotutelle and Joint PhD with an approved partner University;
f. Combined Master of Clinical Psychology and Doctor of Philosophy;
g. Combined Master of Clinical Neuropsychology and Doctor of Philosophy; and
h. Combined Master of Organisational Psychology and Doctor of Philosophy.

Scope

(4) This Procedure applies to all individuals engaged in the provision and support of graduate research supervision, including University staff and individuals appointed to adjunct or advisory positions.

Section 2 - Policy

(5) Refer to the Graduate Research Supervision Policy.

Section 3 - Procedures

Part A - Responsibilities

Prior to Admission

(6) Where possible, applicants for graduate research degrees are encouraged to consult with academic staff members who may be able to supervise the proposed research topic.

(7) Prior to agreeing to supervise an applicant, a supervisor should consider:

a. that they meet the minimum standards for appointment as a supervisor and they have the capacity to supervise the applicant based on their current supervisory load;

b. whether the applicant's background and capacities in relation to the proposed degree are appropriate;
c. whether the applicant's proposed research falls within their areas of expertise and experience;
d. the suitability of the proposed topic for the research degree and if there are sufficient facilities and resources to support the applicant's proposed research;
e. if there is an actual, potential or perceived conflict of interest;
f. if there are any third-party arrangements that may affect the student and the proposed research;
g. if the student is from a country subject to Australian Sanctions, assess the sanctions risk in accordance with the Australian Autonomous Sanctions Assessment Form; and
h. interviewing the applicant prior to agreeing to supervise them.

Formal Appointment and Commencement

(8) Upon formal appointment, supervisors must ensure that they are aware of and take responsibility for their own adherence to:

a. the Staff Code of Conduct;
b. the Graduate Research Rule;
c. the Macquarie University Code for the Responsible Conduct of Research and associated guidelines and policies, including the provision of "guidance and mentorship on responsible research conduct to other researchers or research trainees under their supervision and, where appropriate, monitor their conduct"; and
d. any applicable Department, School or Faculty supervision guidelines.

(9) Upon the student's commencement, supervisors should:

a. ensure the student is aware of their responsibilities as a Graduate Research student as specified in the Graduate Research Admissions Policy, including adherence to:
    i. the Student Code of Conduct;
    ii. the Graduate Research Rule;
    iii. the Macquarie University Code for the Responsible Conduct of Research, including taking responsibility for ensuring that all necessary approvals from ethics and other committees have been obtained prior to commencement of research that requires approval;
    iv. the Intellectual Property Policy;
    v. the Acceptable Use of IT Resources Policy;
    vi. the Responsible and Ethical Use of Artificial Intelligence Policy;
    vii. for Graduate Research students admitted to Cotutelle or Joint Research Degrees, the MQ Guiding Principles for Cotutelle and Joint PhD Enrolment; and
    viii. for Graduate Research students admitted to a combined Masters/PhD in Psychology degree, the General Coursework Rule;
b. discuss how the supervisory team will work together to supervise the student;
c. meet with the student to establish mutual expectations and responsibilities. This may include discussion about the aims, scope, orientation and presentation of the thesis and the operation and responsibilities of the supervisory team;
d. facilitate the student's access to the necessary resources they require during candidature;
e. guide research planning and establish project management strategies where transparent goals and expectations for the research are articulated; and
f. advise the student of skills training or further study relevant to the proposed research. This may include training courses, directed reading, conference support as required, or referral to appropriate academic skills assistance in the first and any subsequent semester of enrolment.

During Candidature

(10) During candidature, supervisors are responsible for:

a. providing timely feedback on written work, focusing on the content and style of the thesis drafts;
b. ensuring concerns about the student's progress are identified early and the student is provided the opportunity to improve their progress in accordance with the Graduate Research Continuation Policy and Graduate Research Continuation Procedure;
c. ensuring the student is aware of and encouraged to engage with the research community, including attending and presenting at seminars;
d. advising on authorship and co-authorship conventions especially as they relate to single author/co-authored papers for a thesis by publication and in journal article format;
e. advising students of relevant University requirements with respect to responsible AI usage;
f. ensuring the outcomes of formal supervisory meetings (such as the agreed aspects of work to be undertaken between sessions) are recorded in a manner that facilitates the continuing progress of the student (e.g. email records, Candidature Management Action Plan); and
g. ensuring the student meets all relevant coursework requirements associated with their degree, including, but not limited to, coursework associated with the combined degrees.

Principal Supervisors

(11) In addition to the responsibilities listed above, the Principal Supervisor is responsible for:

a. ensuring the supervisory team:
    i. has the necessary theoretical, methodological, and disciplinary knowledge to support the research, and seek the appointment of additional supervisors where appropriate, in support of the student's research training;
    ii. has clearly established roles and responsibilities suitable to the project prior to the student's commencement of the program; and
    iii. remains continuous, and effective during candidature;
b. ensuring the student takes responsibility for the following prior to data collection:
    i. completing mandatory induction and research training programs;
    ii. obtaining all necessary approvals from ethics and other committees; and
    iii. developing a plan to manage the data and materials generated from the research project in accordance with the Research Data Management Policy and Research Data Management Procedure;
c. monitoring the student's academic progress during candidature by:
    i. meeting with the student at least fortnightly (face-to-face or using digital tools), unless otherwise agreed by the parties. Consider meeting more frequently in the first year of research;
    ii. providing timely and accurate feedback on the student's progress in relation to mandatory milestones in accordance with the Graduate Research Continuation Policy and Graduate Research Continuation Procedure; and
    iii. advising the student of the candidature provisions detailed in the Graduate Research Variations to Candidature Policy when discussing options for changes to candidature; and
d. completing the following during the thesis submission and examination process:
    i. when advised by the Graduate Research Academy, complete the Nomination of Examiners process in accordance with the Graduate Research Thesis Preparation, Submission and Examination Policy and Graduate Research Thesis Preparation, Submission and Examination Procedure;
    ii. at the time of submission, certify that the thesis is properly presented and is at a standard suitable for

examination in accordance with the Graduate Research Thesis Preparation, Submission and Examination Policy and Graduate Research Thesis Preparation, Submission and Examination Procedure; and

iii. provide guidance on corrections to the thesis as required by the thesis examiners.

Part B - Appointment of Supervisors

(12) The Head of Department/School (HoD/S) (or nominee) is responsible for the appointment of supervisors in accordance with the Graduate Research Supervision Policy.

(13) Where necessary, the HoD/S (or nominee) may assist with identifying appropriate supervision for the student.

(14) When appointing a supervisory team, the HoD/S (or nominee) will determine:

a. if all supervisors:
    i. meet the minimum standards for appointment for the role;
    ii. have sufficient capacity in their workload to provide high-quality supervisory support; and
    iii. are willing to supervise the student for the full period of their enrolment.
b. if the supervisory team dynamics and skill set align effectively with the research project and student's capabilities; and
c. that there is no actual, potential or perceived conflict of interest, including close personal relationships between the supervisor and student, or members of the supervision team.

(15) Where a proposed supervisor meets the minimum standards for appointment, the HoD/S (or nominee) will approve the appointment of the supervisor.

(16) Where a proposed supervisor does not meet the minimum standards for appointment, the HoD/S (or nominee) will either:

a. not approve the appointment of the supervisor; or
b. submit a request for the 'exception appointment' of the supervisor.

(17) If the decision is to request an 'exceptional appointment' of a supervisor, the HoD/S (or nominee) will forward a written request to the Executive Dean (or nominee) for consideration. The request should include a justification for why the proposed supervisor should be appointed as an 'exceptional appointment'.

(18) The Executive Dean (or nominee) will review the request for an 'exceptional appointment' and will either:

a. approve the request; or
b. not approve the request.

Continuity of Supervision

(19) Changes to supervision arrangements constitute new appointments and must be made in accordance with the Graduate Research Supervision Policy and Graduate Research Supervision Procedure.

(20) In cases where appropriate supervision is not available, the HoD/S (or nominee) may recommend that the student's enrolment be ceased in accordance with the Graduate Research Variations to Candidature Policy.

Conflict of Interests

(21) The Head of Department/School (HoD/S) (or nominee) will consider reports of actual, potential or perceived

conflicts of interests and will complete one of the following:

a. for a conflict of interest that involves a close personal relationship, work with the supervisor to arrange alternative supervision in accordance with the Graduate Research Supervision Policy; or
b. for all other cases, work with the supervisor to complete the Conflict of Interest Form.

Part C - Compliance

(22) The Head of Department/School (or nominee) is responsible for ensuring that all supervisors comply with the requirements in the Graduate Research Supervision Policy and Graduate Research Supervision Procedure.

(23) If a staff member is alleged to have breached the expectations outlined in the Graduate Research Supervision Policy and Graduate Research Supervision Procedure, the University will investigate the alleged breach in accordance with the applicable policy or relevant enterprise agreement.

Section 4 - Guidelines

(24) Nil.

Section 5 - Definitions

(25) Nil.

Status and Details

Status	Current
Effective Date	24th November 2026
Review Date	1st October 2029
Approval Authority	Academic Senate
Approval Date	24th November 2026
Expiry Date	Not Applicable
Responsible Executive	Sakkie Pretorius Deputy Vice-Chancellor (Research) +61 2 9850 8645
Responsible Officer	Simon Handley Pro Vice-Chancellor, Graduate Research +61 2 9850 8030
Enquiries Contact	Jennifer Cornish Academic Director, Graduate Research +61 2 9850 8666

This document may be varied, withdrawn, or replaced at any time. Printed copies, or part thereof, are regarded as uncontrolled and should not be relied upon as the current version. It is the responsibility of the individual reading this document to always refer to Policy Central (https://policies.mq.edu.au) for the latest version.